





FTO/SB/08A (07-05)

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)		<b>Complete if Known</b>	
		Application Number	10/728,007
		Filing Date	December 1, 2003
		First Named Inventor	Foley, Matthew J.
		Art Unit	2552 2168
		Examiner Name	Allen Bradley LY
Sheet 1	of 2	Attorney Docket Number 021154-000910US	

U.S. PATENT DOCUMENTS					
Examiner Initials <sup>1</sup>	Cite No. <sup>2</sup>	Document Number Number Kind Code <sup>3</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
CL	AA	US-6,820,447 B2	07-2005	Pudipeddi et al.	
	AB	US-5,978,815	11-1998	Cabrera et al.	
	AC	US-5,701,415	12-1997	Wai, Yi-Hsiu	
	AD	US-4,901,231	02-1990	Bishop et al.	
✓	AE	US-2006/0010150 A1	01-12-2006	Shazth et al.	
	AF	US-2002/0107878 A1	08-2002	Tsuchida et al.	
	AG	US-			
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	AP	US-			
	AQ	US-			
	AR	US-			

FOREIGN PATENT DOCUMENTS								
Examiner Initials <sup>1</sup>	Cite No. <sup>2</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>4</sup>
		Country Code <sup>3</sup>	Number <sup>3</sup>	Kind Code <sup>3</sup> (if known)				
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	AW							<input type="checkbox"/>

Examiner Signature	/Cheyne Ly/	Date Considered	08/03/2006
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<sup>1</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 608. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>2</sup> Applicant's unique citation designation number (optional). <sup>3</sup> Kind Codes of U.S. Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 801.04. <sup>4</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>5</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>6</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>7</sup> Applicant is to place a check mark here if English language Translation is attached.

PTO/BB/088 (07-05)

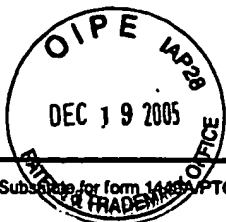
<b>Substitute for form 1449B/PTO</b>  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (Use as many sheets as necessary)		<b>Complete if Known</b>			
		Application Number	10/728,007		
		Filing Date	December 1, 2003		
		First Named Inventor	Foley, Matthew J.		
		Art Unit	2133		
		Examiner Name	Albert Decady		
Sheet	2	of	2	Attorney Docket Number	021184-000910US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume/issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
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Examiner Signature		Date Considered	
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\* Applicant's unique citation designation number (optional). \* Applicant is to place a check mark here if English language Translation is attached.

60735532 v1



PTO/SB/08A (08-03)

Substituted for form 1449, PTO <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)		<b>Complete If Known</b>	
		Application Number	10/726,007
		Filing Date	December 1, 2003
		First Named Inventor	Foley, Matthew J.
		Art Unit	<del>2703</del> 2168
Examiner Name	Albert Decady LY		
Sheet 1	of 2	Attorney Docket Number	021154-000910US

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Kind Code <sup>2</sup> (if known)			
CL	AA	US-6,941,560	09/06/2005	Lowry et al.	
	AB	US-6,915,338	07/05/2005	Hunt et al.	
	AC	US-6,839,766	01/04/2005	Parnafes et al.	
	AD	US-6,678,248	01/13/2004	Haddock et al.	
	AE	US-6,662,235	12/09/2003	Callis et al.	
	AF	US-6,654,864	11/25/2003	Shaath et al.	
	AG	US-6,466,952	10/15/2002	Hanes et al.	
	AH	US-6,438,642	08/20/2002	Shaath	
	AI	US-6,370,545	04/09/2002	Shaath	
	AJ	US-6,336,175	01/01/2002	Shaath et al.	
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	AT	US-			

FOREIGN PATENT DOCUMENTS							
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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Examiner Signature	/Cheyne Ly/	Date Considered	08/03/2006
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Substitute for form 1449B/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>				<b>Complete If Known</b>	
				Application Number	10/726,007
				Filing Date	December 1, 2003
				First Named Inventor	Foley, Matthew J.
				Art Unit	2133
				Examiner Name	Albert Decady
Sheet	2	of	2	Attorney Docket Number	021154-000910US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
CL	BC	SUN (Sun Microsystems, Inc., "Solstice Backup™ 5.5, Administration Guide", Part No. 806-1135-10, September 1999, Revision A), pg. 1-2, 140-141.	
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Examiner Signature	/Cheyne Ly/	Date Considered	08/03/2006
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				Application Number	10/726,007
				Filing Date	December 1, 2003
				First Named Inventor	Foley, Matthew J.
				Art Unit	2493 2168
				Examiner Name	<del>Dechay, Albert</del> <i>Ly</i>
Sheet	2	of	2	Attorney Docket Number	021154-000910US

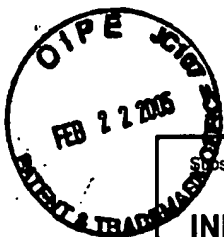
NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
CL	AA	MOORE et al., "Policy Core Information Model Extensions," Internet Draft, DRAFT-IETF-POLICY-PCIM-EXT-06.TXT, 11/8/01, pages 1-85 downloaded from <a href="http://www.watersprings.org/pub/id/draft-ietf-policy-pcim-ext-06.txt">http://www.watersprings.org/pub/id/draft-ietf-policy-pcim-ext-06.txt</a> on 2/2/05.	
CL	AB	STRASSNER et al., "Policy Framework Definition Language," Internet Draft, DRAFT-IETF-POLICY-FRAMEWORK-PFDL-00.TXT, 11/17/98, pages 1-18 downloaded from <a href="http://www.watersprings.org/pub/id/draft-ietf-policy-framework-pfdl-00.txt">http://www.watersprings.org/pub/id/draft-ietf-policy-framework-pfdl-00.txt</a> on 3/2/05.	
CL	AC	WATERS et al., "Policy Framework Architecture," Internet Draft, DRAFT-IETF-POLICY-ARCH-00.TXT, 2/26/99, pages 1-18 downloaded from <a href="http://www.watersprings.org/pub/id/draft-ietf-policy-arch-00.txt">http://www.watersprings.org/pub/id/draft-ietf-policy-arch-00.txt</a> on 3/2/05.	
CL	AD	WOLFSON et al., "Managing Communication Networks by Monitoring Databases," <u>IEEE Trans. Software Engineering</u> , 17(9):944-953 (1991).	

Examiner Signature	/Cheyne Ly/	Date Considered	08/03/2006
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PTO/SB/08A (08-03)

Substitute for form 1449A/PTO			<b>Complete if Known</b>		
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)			Application Number	10/726,007	
			Filing Date	December 1, 2003	
			First Named Inventor	Foley, Matthew J.	
			Art Unit	2430 2168	
			Examiner Name	Decady, Albert <i>hs</i>	
Sheet	1	of	3	Attorney Docket Number	021154-000910US

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number Number Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
CL	AA	US-6,631,477	10-07-2003	LeCrone et al.	
	AB	US-6,584,497	06-24-2003	Case et al.	
	AC	US-6,449,731	09-10-2002	Frey, Jr.	
	AD	US-6,415,280	07-02-2002	Farber et al.	
	AE	US-6,404,925	06-11-2002	Footo et al.	
	AF	US-6,330,610	12-11-2001	Doctor et al.	
	AG	US-6,023,709	02-08-2000	Anglin et al.	
	AH	US-5,983,318	11-09-1999	Willson et al.	
	AI	US-5,873,103	02-16-1999	Trede et al.	
	AJ	US-5,819,296	10-06-1998	Anderson et al.	
	AK	US-5,708,806	01-13-1998	DeRose et al.	
	AL	US-5,475,834	12-12-1995	Anglin et al.	
	AM	US-5,471,677	11-28-1995	Imanaka	
	AN	US-5,053,948	10-01-1991	DeClute et al.	
	AO	US-2005/0033757	02-10-2005	Greenblatt et al.	
	AP	US-2005/0021566	01-27-2005	Mu	
	AQ	US-2005/0015409	01-20-2005	Wen et al.	
	AR	US-2004/0083202	04-29-2004	Mu et al.	
	AS	US-2004/0054656	03-18-2004	Leung et al.	
	AT	US-2004/0049513	03-11-2004	Yakir et al.	
	AU	US-2004/0039891	02-26-2004	Leung et al.	
	AV	US-2003/0115204	06-19-2003	Greenblatt et al.	
	AW	US-2003/0046313	03-06-2003	Leung et al.	
	AX	US-2003/0046270	03-06-2003	Leung et al.	
✓	AY	US-2002/0138251	09-26-2002	Geary	
	AZ	US-2001/0034795	10-25-2001	Moulton et al.	

Examiner Signature	/Cheyne Ly/	Date Considered	08/03/2006
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60422228 v1

Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)			<b>Complete if Known</b>		
			Application Number	10/726,007	
			Filing Date	December 1, 2003	
			First Named Inventor	Foley, Matthew J.	
			Art Unit	2433 2168	
Examiner Name	Decady, Albert <i>my</i>				
Sheet	2	of	3	Attorney Docket Number	021154-000910US

FOREIGN PATENT DOCUMENTS								
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				Application Number	10/726,007	
				Filing Date	December 1, 2003	
				First Named Inventor	Foley, Matthew J.	
				Art Unit	<del>2700</del> 2168	
Examiner Name	Deady, Albert <i>leg</i>					
Attorney Docket Number	021154-000910US					
Sheet	3	of	3			

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
CL	BL	Microsoft Corporation, Microsoft Windows 2000 Server white paper, Enterprise Class Storage in Windows 2000, 1999, pgs. 11, 19, 20.	
↓	BM	The PC Guide, May 11, 2001, downloaded from <a href="http://web.archive.org/web/20010626140029/www.pcguide.com/ref/hdd/file/ntfs/secRes-c.html">http://web.archive.org/web/20010626140029/www.pcguide.com/ref/hdd/file/ntfs/secRes-c.html</a> on 4/7/04	
↓	BN	SIYAN, K.S., "Windows 2000 Server Professional Reference, July 10, 2000, ISBN 0-7357-0952-1," Implementing File System Security Using File Permissions, chapter 9.	

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			Application Number	10/726,007 <b>RECEIVED</b>	
			Filing Date	December 1, 2003	
			First Named Inventor	Foley, Matthew J. <b>MAY 17 2004</b>	
			Art Unit	<del>2433</del> 2161	
			Examiner Name	Unassigned Technology Center 2100	
Sheet	1	of	3	Attorney Docket Number	021154-000910US

U.S. PATENT DOCUMENTS+					
Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
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CL	AA	US-6,519,637	02-11-2003	Arkeketa, et al.	
	AB	US-6,493,756	12-10-2002	O'Brien, et al.	
	AC	US-6,460,070	10-01-2002	Turek, et al.	
	AD	US-6,453,325	09-17-2002	Cabrera et al.	
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	AI	US-6,154,817	11-28-2000	Mohan et al.	
	AJ	US-6,038,379	03-14-2000	Fletcher et al.	
	AK	US-6,035,373	03-07-2000	Iwata	
	AL	US-5,991,753	11-23-1999	Wilde	
	AM	US-5,933,603	08-03-1999	Vahalia et al..	
	AN	US-5,798,766	08-25-1998	Hayashi et al.	
	AO	US-5,778,395	07-07-1998	Whiting et al.	
	AP	US-5,689,681	11-18-1997	Petersen	
	AQ	US-5,606,689	02-25-1997	Nakagawa	
	AR	US-5,506,986	04-09-1996	Healy	
	AS	US-5,485,606	01-16-1996	Midgley et al.	
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	AU	US-5,333,315	07-26-1994	Saether et al.	
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	AW	US-5,202,982	04-13-1993	Gramlich et al.	
	AX	US-5,131,087	07-14-1992	Warr	
	AY	US-5,063,523	11-05-1991	Milan J. Vrenjak	
✓	AZ	US-2002/0174139	11-21-2002	Midgley et al.	
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Examiner Signature	/Cheyne Ly/	Date Considered	08/03/2006
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60210176 v1

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PTO/SB/08A (08-03)

Substitute for form 1449A		<b>Complete If Known</b>			
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number	10/726,007		
		Filing Date	December 1, 2003		
		First Named Inventor	Foley, Matthew J.		
		Art Unit	2433		
		Examiner Name	Unassigned		
Sheet	2	of	3	Attorney Docket Number	021154-00091005

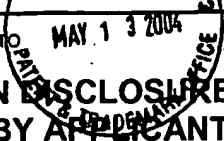
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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)		Application Number		10/726,007	
		Filing Date		December 1, 2003	
		First Named Inventor		Foley, Matthew J.	
		Art Unit		2433 2168	
		Examiner Name		Unassigned	
Sheet	3	of	3	Attorney Docket Number	021154-000910US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
CL	BB	BHATTACHARYA et al., "Coordinating Backup/Recovery and Data Consistency Between Database and File Systems," <i>Procs. 2002 ACM SIGMOD Int. Conf. on Management of Data</i> , pgs. 500-511 (2002).	
	BC	HSM For NetWare- White Paper: A Guide to Hierarchical Storage Management from <a href="http://support.ca.com/techbases/hsm/HSMWhitePaper.html">http://support.ca.com/techbases/hsm/HSMWhitePaper.html</a> visited on 01/10/2003.	
	BD	POWERS, et al. (July 1999). "Complementing AS/400 Storage Management Using Hierarchical Storage Management APIs, A Practical Approach to AS/400 Storage Management," International Technical Support Organization, from <a href="http://www.redbooks.ibm.com/pubs/pdfs/redbooks/sg244450.pdf">http://www.redbooks.ibm.com/pubs/pdfs/redbooks/sg244450.pdf</a> visited on 01/10/2003	
	BE	SafeCapacity™ User's Manual Version 2.14 (01/01/2002) Solution-Soft, Santa Clara, CA 48 pages total.	
↓	BF	WELCH et al., "A Resilient Application-Level Failure Detection System for Distributed Computing Environments," <i>Computers and Communications</i> (1995) IEEE Symposium on 27-29 Jun 1995-96.	

Examiner Signature	/Cheyne Ly/	Date Considered	08/03/2006
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